



EC973 U.S. PTO

12 07 00

A  
PATENT  
Attorney Docket No. SAM-164

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Kim, et. al.  
Filing Date: Herewith  
Title: SEMICONDUCTOR DEVICE HAVING SELF-ALIGNED CONTACT  
AND FABRICATING METHOD THEREFOR

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10

"Express Mail" Mailing Label Number EL681163405US I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, DC 20231.

December 6, 2000  
Date

Lizbeth M. Sumner  
Lizabeth M. Sumner



BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, DC 20231

TRANSMITTAL LETTER

Sir:

Enclosed herewith for filing in the above-identified patent application please find the following listed items:

1. New Application Transmittal;
2. New Patent Application;
3. Executed Declaration, Petition and Power of Attorney;
4. Eleven (11) Pages of Formal Drawings;
5. Certified Copy of Priority Document - Korean Application No. 99-55204
6. Check in the amount of \$710.00 to cover requisite fee;
7. Assignment Recordation Form Cover Sheet - - PTO-1595;
8. Executed Assignment;
9. Check in the amount of \$40.00 to cover assignment recordation fee; and
10. Return Postcard.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 19-0079. A duplicate copy of this letter is provided for this purpose.

Respectfully submitted,

Date: December 6, 2000  
Samuels, Gauthier & Stevens, LLP  
225 Franklin Street, Suite 3300  
Boston, MA 02110  
Telephone: (617) 426-9180, Ext. 149  
Facsimile: (617) 426-2275

Steven M. Mills  
Steven M. Mills  
Registration Number 36,610  
Attorney for Applicant

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Myeong-cheol Kim  
Byeong-yun Nam  
Gyung-jin Min  
Tae-hyuk Ahn

For (title): SEMICONDUCTOR DEVICE  
HAVING SELF-ALIGNED  
CONTACT AND FABRICATING  
METHOD THEREFOR

1. **Type of Application** This new application is for  
a(n)

- ☒ Original (nonprovisional)  
☐ Design  
☐ Plant  
☐ Divisional.  
☐ Continuation.  
☐ Continuation-in-part (C-I-P).

2. **Benefit of Prior Application(s)**

- ☒ The new application being transmitted claims the benefit of prior Korean application(s) nos.  
99-55204. See item 7.

3. **Papers Enclosed**

17 Pages of specification  
4 Pages of claims  
1 Page of Abstract  
11 Sheets of drawings  
☒ formal  
☐ informal  
       Page of Cover Sheet

<p align="center"><b>CERTIFICATE OF MAILING</b> <b>37 C.F.R. § 1.10</b> "Express Mail" Mailing Label Number <u>EL681163405US</u> I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, DC 20231. Date: <u>12/6/00</u> <u>Lizabeth M Sumner</u> Lizabeth M. Sumner <u>Lizabeth M Sumner</u> Print Name</p>
--



- ☐ The **enclosed** drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. 1.84(b).

**4. Additional papers enclosed**

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement (37 C.F.R. 1.98)
- ☐ Form PTO-1449 (PTO/SB/08A and 08B)
- ☐ Copies of cited references
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
- ☐ Authorization of Attorney(s) to Accept and Follow Instructions from Representative
- ☐ Special Comments
- ☒ Other: Return Postcard.

**5. Declaration or oath**

- ☒ Enclosed
  - ☐ Unexecuted
  - ☒ Executed by
    - ☒ inventors
    - ☐ legal representative of inventor(s).  
37 CFR 1.42 or 1.43.
    - ☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
    - ☐ This is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See item 12 below for fee.
- ☐ Not Enclosed
- ☐ Application is made by a person authorized under 37 C.F.R. 1.41 (c) on behalf of all the above named inventor(s).
  - ☐ Showing that the filing is authorized.

**6. Assignment**

- ☒ An assignment of the invention to Samsung Electronics Co., Ltd.
  - ☒ is attached. A separate ☐ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☒ FORM PTO 1595 is also attached. will follow.

## 7. Certified Copy

Certified copy(ies) of application(s)

Korea	99-55204	6 December 1999
Country	Appln. no.	Filed

Country	Appln. no.	Filed
---------	------------	-------

Country	Appln. no.	Filed
---------	------------	-------

from which priority is claimed

☒ are attached.

☐ will follow.

## 8. Fee Calculation (37 C.F.R. 1.16)

CLAIMS AS FILED					
	Number filed		Number Extra	Rate	Basic Fee 37 C.F.R. 1.16(a) <u>\$710.00</u>
Total					
Claims (37 CFR 1.16(c))	20	- 20 =	0	\$ 18.00	\$0
Independent					
Claims (37 CFR 1.16(b))	2	- 3 =	0	\$80.00	\$0
Multiple dependent claim(s), if any (37 CFR 1.16(d))			+	\$270.00	

☐ A Preliminary Amendment canceling claims is enclosed. The filing fee is calculated based on the number of claims remaining after entry of the Preliminary Amendment.

☐ Amendment deleting multiple-dependencies is enclosed.

☐ Fee for extra claims is not being paid at this time.

Filing Fee Calculation

\$710.00

**9. Small Entity Statement(s)**

☐ Verified Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is (are) attached.

☐ Status as a small entity was claimed in prior application \_\_\_\_\_, filed on \_\_\_\_\_  
from which benefit is being claimed for this application under:

35 U.S.C. ☐ 119(e),

☐ 120,

☐ 121,

☐ 365(c),

and which status as a small entity is still proper and desired.

☐ A copy of the verified statement in the prior application is included.

**Filing Fee Calculation (50% of A, B or C above)**

\$ \_\_\_\_\_

**10. Fee Payment Being Made at This Time**

☐ Not Enclosed

☐ No filing fee is to be paid at this time.

*(This and the surcharge required by 37 C.F.R. 1.16(e) can be paid subsequently.)*

☒ Enclosed

☒ Basic filing fee \$ 710.00

☒ Recording assignment

(\$40.00; 37 C.F.R. 1.21(h))

(See attached "COVER SHEET FOR ASSIGNMENT  
ACCOMPANYING NEW APPLICATION".)

\$ 40.00

**Total fees enclosed** \$ 750.00

**11. Method of Payment of Fees**

☒ Checks in the amounts of \$ 710.00, 40.00

☐ Charge Account No. 19-0079 in the amount of \$ \_\_\_\_\_  
A duplicate of this transmittal is attached.

**12. Authorization to Charge Additional Fees**

☒ The Commissioner is hereby authorized to charge the following additional fees during the entire pendency of this application to Account No. 19-0079.

☒ 37 C.F.R. 1.16(a), (f) or (g) (filing fees)

☒ 37 C.F.R. 1.16(b), (c) and (d) (presentation of extra claims)

☐ 37 C.F.R. 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)

☐ 37 C.F.R. 1.17 (application processing fees)


☐ 37 C.F.R. 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. 1.311(b))

**13. Instructions as to Overpayment**

☒ Credit Account No. 19-0079

☐ Refund

Respectfully submitted,



Steven M. Mills  
Registration Number 36,610  
Attorney for Applicant

Date: December 6, 2000  
Samuels, Gauthier & Stevens, LLP  
225 Franklin Street, Suite 3300  
Boston, MA 02110  
Telephone: (617) 426-9180, Ext. 149  
Facsimile: (617) 426-2275